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Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. BARR0005

First Inventor or Application Identifier Stefek et al.

Title An Integrative Method for Modeling Multiple Asset Classes

Express Mail Label No. EL816158935US

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**APPLICATION ELEMENTS**  
See MPEP chapter 600 concerning utility patent application contents

1.  \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
  2.  Specification [Total Pages 58]  
(preferred arrangement set forth below)
    - Descriptive title of the Invention
    - Cross References to Related Applications
    - Statement Regarding Fed sponsored R & D
    - Reference to Microfiche Appendix
    - Background of the Invention
    - Brief Summary of the Invention
    - Brief Description of the Drawings (if filed)
    - Detailed Description
    - Claim(s)
    - Abstract of the Disclosure
  3.  Drawing(s) (35 U.S.C. 113) [Total Sheets 11]
  4. Oath or Declaration [Total Pages 3]
    - a.  Newly executed (original or copy)
    - b.  Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
      - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
- \* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.29).**

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

5.  Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Copy
  - b.  Paper Copy (identical to computer copy)
  - c.  Statement verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

7.  Assignment Papers (cover sheet & document(s))
8.  37 C.F.R. § 3.73(b) Statement  Power of  
(when there is an assignee)  Attorney
9.  English Translation Document (if applicable)
10.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS  
Citations
11.  Preliminary Amendment
12.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13.  \* Small Entity Statement(s)  Status still proper and desired  
(PTO/SB/09-12)
14.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15.  Other: \_\_\_\_\_

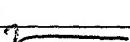
16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

### 17. CORRESPONDENCE ADDRESS

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Name		
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Name (Print/Type)	Michael A. Glenn	
Signature		
Registration No (Attorney/Agent)	30,176	
Date	6/29/01	

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# FEE TRANSMITTAL

## for FY 1999

Patent fees are subject to annual revision

Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28

TOTAL AMOUNT OF PAYMENT (\$ 750.00)

Complete if Known	
Application Number	Unassigned
Filing Date	Herewith
First Named Inventor	Stefek et al.
Examiner Name	Unassigned
Group / Art Unit	Unassigned
Attorney Docket No.	BARR0005

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																													
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to Deposit Account Number <b>07-1445</b>  Deposit Account Name <b>Michael Glenn</b>  <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17		<b>3. ADDITIONAL FEES</b> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205 65 Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227 25 Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139 130 Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147 2,520 For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112 920* Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113 1,840* Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215 55 Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>380</td><td>216 190 Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>870</td><td>217 435 Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,360</td><td>218 680 Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,850</td><td>228 925 Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>300</td><td>219 150 Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>300</td><td>220 150 Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>260</td><td>221 130 Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138 1,510 Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240 55 Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,210</td><td>241 605 Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,210</td><td>242 605 Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>430</td><td>243 215 Design issue fee</td><td></td></tr> <tr><td>144</td><td>580</td><td>244 290 Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122 130 Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123 50 Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126 240 Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581 40 Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>760</td><td>246 380 Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149</td><td>760</td><td>249 380 For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td colspan="2">Other fee (specify) _____</td><td colspan="2"></td></tr> <tr><td colspan="2">Other fee (specify) _____</td><td colspan="2"></td></tr> <tr> <td colspan="2">SUBTOTAL (1) (\$ 710.00)</td> <td colspan="2">SUBTOTAL (3) (\$ 40.00)</td> </tr> <tr> <td colspan="4">           * Reduced by Basic Filing Fee Paid         </td> </tr> </tbody> </table>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105	130	205 65 Surcharge - late filing fee or oath		127	50	227 25 Surcharge - late provisional filing fee or cover sheet		139	130	139 130 Non-English specification		147	2,520	147 2,520 For filing a request for reexamination		112	920*	112 920* Requesting publication of SIR prior to Examiner action		113	1,840*	113 1,840* Requesting publication of SIR after Examiner action		115	110	215 55 Extension for reply within first month		116	380	216 190 Extension for reply within second month		117	870	217 435 Extension for reply within third month		118	1,360	218 680 Extension for reply within fourth month		128	1,850	228 925 Extension for reply within fifth month		119	300	219 150 Notice of Appeal		120	300	220 150 Filing a brief in support of an appeal		121	260	221 130 Request for oral hearing		138	1,510	138 1,510 Petition to institute a public use proceeding		140	110	240 55 Petition to revive - unavoidable		141	1,210	241 605 Petition to revive - unintentional		142	1,210	242 605 Utility issue fee (or reissue)		143	430	243 215 Design issue fee		144	580	244 290 Plant issue fee		122	130	122 130 Petitions to the Commissioner		123	50	123 50 Petitions related to provisional applications		126	240	126 240 Submission of Information Disclosure Stmt		581	40	581 40 Recording each patent assignment per property (times number of properties)		146	760	246 380 Filing a submission after final rejection (37 CFR § 1.129(a))		149	760	249 380 For each additional invention to be examined (37 CFR § 1.129(b))		Other fee (specify) _____				Other fee (specify) _____				SUBTOTAL (1) (\$ 710.00)		SUBTOTAL (3) (\$ 40.00)		* Reduced by Basic Filing Fee Paid			
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117	870	217 435 Extension for reply within third month																																																																																																																													
118	1,360	218 680 Extension for reply within fourth month																																																																																																																													
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119	300	219 150 Notice of Appeal																																																																																																																													
120	300	220 150 Filing a brief in support of an appeal																																																																																																																													
121	260	221 130 Request for oral hearing																																																																																																																													
138	1,510	138 1,510 Petition to institute a public use proceeding																																																																																																																													
140	110	240 55 Petition to revive - unavoidable																																																																																																																													
141	1,210	241 605 Petition to revive - unintentional																																																																																																																													
142	1,210	242 605 Utility issue fee (or reissue)																																																																																																																													
143	430	243 215 Design issue fee																																																																																																																													
144	580	244 290 Plant issue fee																																																																																																																													
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146	760	246 380 Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																													
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<b>SUBMITTED BY</b> <table border="1"> <thead> <tr> <th>Name (Print/Type)</th> <th>Michael Glenn</th> <th>Registration No (Attorney/Agent)</th> <th>30,176</th> <th>Telephone</th> <th>650-474-8400</th> </tr> </thead> <tbody> <tr> <td>Signature</td> <td></td> <td></td> <td></td> <td>Date</td> <td>6/29/2001</td> </tr> </tbody> </table>				Name (Print/Type)	Michael Glenn	Registration No (Attorney/Agent)	30,176	Telephone	650-474-8400	Signature				Date	6/29/2001																																																																																																																
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Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.